

## → WHAT SDDCO CLIENTS THINK

“SDDCO has a profound knowledge of their business and a deep understanding of ours.”

U.S. Broker-Dealer (BD)

“SDDCO employees are extremely professional at every level and in all fields of business and we have developed a high standard of trust since the beginning.”

BD bank subsidiary-France

“SDDCO is a trusted business partner that helps its clients with understanding their real needs and requirements on an ongoing basis, and then customizing its approach accordingly.”

U.S. Investment Advisor

“I have recommended SDDCO as “Best in Class” and consider their level of professionalism and dedication to be second to none.”

BD bank subsidiary-Sweden

“An invaluable resource; always responsive in providing sensible, intelligent and useful advice.”

U.S. Private Equity

“We consider governance and accurate reporting a top priority. SDDCO professionals are very personal and knowledgeable so there were no concerns about outsourcing.”

BD bank subsidiary-England

## → CONTACT SDDCO

### SPEAK TO AN SDDCO PARTNER

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### SDDCO LOCATIONS

New York • Boston • Miami



The  
**SDDCO**  
Group

Accountants & Consultants for  
the Financial Services Industry

THE WORLD OF  
FINANCIAL SERVICES  
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MADE SIMPLE**

[www.sddco.com](http://www.sddco.com)

More than ever, financial services firms are laden with industry regulations and year-round reporting. Since 1952, SDDCO lightens such back office burdens on an outsourced basis. Our clients access expert service without the cost of a full-time hire.



## → WHO WE SERVE

SDDCO specializes in one industry—financial services. Our clients include:

- » Broker-Dealers
- » Investment Advisors
- » Commodity Brokers
- » Privately Held Funds
- » Asset Management Firms
- » U.S. Arms of Foreign Banks

## → HOW WE WORK

SDDCO can simplify the startup and upkeep of your business. On a retainer or project basis, our qualified consultants manage firm responsibilities in the areas of accounting and reporting, regulatory compliance, and tax. We work onsite and off, visiting monthly, weekly or more. Service continues through emails, phone and conference calls, our monthly client newsletter, and other communications. How much we are engaged to do is up to you and based on your business needs.

## → WHO WE ARE

Formed in 1952, The SDDCO Group faithfully maintains the AICPA standards of integrity, competency, and confidentiality as it delivers outsourced professional support to financial services companies across the country and around the world. Our CPAs and consultants are skilled, multi-licensed professionals, many with over two decades in the industry. Our brokerage subsidiary provides a platform for registered representatives to conduct business while their own broker-dealer applies for FINRA membership.

*When you hire SDDCO, you benefit from the talent and expertise of the entire firm rather than that of an individual practitioner more limited in scope and resources.”*

**SCOTT DANIELS**, Senior Managing Partner



## WHAT WE DO

### ACCOUNTING & REPORTING

#### ACCOUNTING AND BOOKKEEPING

Our outsourced services include the preparation and analysis of your financial statements, cash flow oversight, accounts payable and receivable functions, and management reporting.

#### FINOP REPORTING AND SUPERVISION

SDDCO fulfills broker-dealer Financial Operations Principal roles. As FinOp (or as support to an in-house FinOp), we monitor net capital, execute your filings, work with auditors and regulators and serve as Chief Financial Officer.

#### TAX, COMPLIANCE AND ADVISING

For over 60 years, SDDCO has managed tax obligations for businesses and high net worth individuals via research and planning, tax preparation, and representation with authorities. Engaging an SDDCO team enables close collaboration on financial, regulatory, and tax matters.

### REGULATORY COMPLIANCE

#### BROKER AND ADVISOR REGISTRATIONS

For new broker-dealers, investment advisors, and commodity brokers, SDDCO can fully execute your registrations with regulators, states and SROs, including the SEC, CFTC, NFA, and FINRA. We build your business plan, customize manuals, prepare filings, attend interviews, and handle regulator requests.

#### ONGOING COMPLIANCE

To mitigate risk, SDDCO supports your ongoing adherence to industry rules. Broker and advisor services include assisting registrations and licenses, policies and procedures, disclosures and certifications, annual review or meeting, and acting as General Securities Principal or Chief Compliance Officer.

#### INDEPENDENT AML TESTING

An SDDCO CAMS Certified Anti-Money Laundering (AML) Specialist can conduct an independent review of a broker-dealer's operations and AML supervisory systems, and provide, as required, a written report of findings and recommendations.